

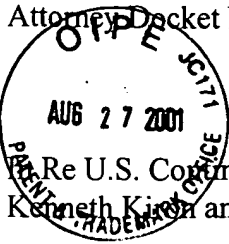
Attorney Docket No. 3001 P 014



26851

PATENT TRADEMARK OFFICE

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re U.S. Continuation Patent Application Of:  
Kenneth Kirsh and Kevin Bander

Application No. 09/839,888

Confirmation No.

Filed: April 20, 2001

For: Open End Mutual Fund Securitization Process

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) Group Art Unit:  
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) Examiner:  
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Commissioner For Patents  
Washington, D.C. 20231

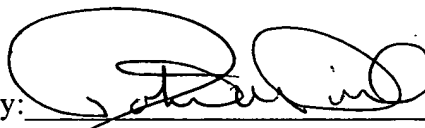
**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

Applicant submits herewith Form PTO-1449 and a copy of the references listed thereon.

Since this Information Disclosure Statement is being filed within three months of the filing date of the Application or before the mailing date of a First Office Action on the merits, whichever event occurs last (37 C.F.R. § 1.97(b)), no certification or fee is due. The Commissioner is hereby authorized to charge any deficiency in fees to Deposit Account No. 23-0280. A duplicate copy of this paper is enclosed for that purpose.

Respectfully submitted,

Dated: Aug. 22, 2001

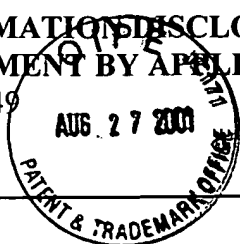
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**CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)**

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231 on Aug 23, 2001

  
Kathleen M. Rundquist/124360.1

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
PTO-1449



W&W File No.: 3001 P 014  
Application No.: 09/839,888  
Applicant: Kiron et al.  
Filing Date: April 20, 2001  
Art Unit:

**U.S. PATENT DOCUMENTS**

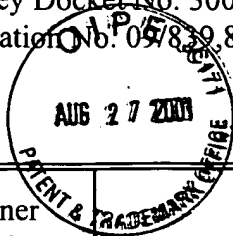
Examiner Initial	U.S. Patent Document No.	Name of Patentee or Applicant	Class/ Subclass	Date of Publication
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Examiner Initial	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	T
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**OTHER PRIOR ART OR NON-PATENT LITERATURE DOCUMENTS**

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	SPIR Trust Series 1, Application for Orders Under Section 6(c) of the Investment Company Act of 1940.	
	SPIR Trust Series 1, First Amended and Restated Application for Orders Under Section 6(c) of the Investment company Act of 1940.	
	Form S-6 (EL24) for registration under the Securities Act of 1933.	



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	Amendment No. 1 to Form S-6 (EL24A) for registration under the Securities Act of 1933.	
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Date

Examiner: \_\_\_\_\_

Considered: \_\_\_\_\_

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.